

U.S. ARMY RESEARCH OFFICE

REPORTING INSTRUCTIONS

U.S. ARMY RESEARCH OFFICE

P.O. BOX 12211

RESEARCH TRIANGLE PARK, NC 27709-2211

**ARO FORM 18
OCTOBER 1998
PREVIOUS EDITIONS OF THIS FORM ARE OBSOLETE**

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PREFACE

The U.S. Army Research Office (ARO) requires rapid and wide dissemination of the scientific information developed through its contracts and grants. The "U.S. ARMY RESEARCH OFFICE REPORTING INSTRUCTIONS" have been developed to achieve this objective and are provided to you as specified in your research agreement.

In accordance with the terms and conditions of the award, all submissions are required to comply with these instructions. Successful completion and acceptance of the agreed upon effort is contingent upon the technical information provided and the consistency with the instructions contained herein.

Please retain these Reporting Instructions as your master copy and reproduce as necessary to meet your reporting requirements throughout the duration of your research agreement. ARO provides new Reporting Instructions when instructions or formats are modified. Reporting Instructions are available through the web at www.aro.army.mil.

All reports must be sent prepaid. The Army Research Office **will not** accept collect shipments.

C. I. CHANG
Director, Army Research Office

SECTION I. Summary of Reports Required

<u>Type of Report</u>	<u>Submission Time to the ARO</u>	<u>Content</u>	<u># Copies</u>	<u>Note</u>
Interim Progress	Annually, within 90 days after 31 December	Semi-technical	Orig + 2	(1) (3) (4) (6)
Final Progress	Within 90 days following the expiration of agreement	Technical	Orig + 2	(2) (3) (5) (8)
Forecast Expenditure	60 days prior to the exercise of an increment or option	Financial	Orig + 2	(7) (9)
Manuscript	<u>One copy to the ARO at the same time it is submitted to the journal</u>	Technical	1	(2) (3) (8)
Reprint	As available	Technical	Orig + 2	(2) (3) (8)
Technical	As available	Technical	Orig + 2	(2) (3) (8)
Related Materials Abstracts & Theses	As available		1	(2) (8)

NOTE (1): Refer questions to Mrs. Sandra Yates, E-mail yates@aro-emh1.army.mil Tel: (919) 549-4215.

NOTE (2): Refer questions to Mrs. Sylvia Hall, E-mail hall@aro-emh1.army.mil Tel: (919) 549-4220.

NOTE (3): All copies must be duplicatable quality.

NOTE (4): The following exclusions apply:

a. If the agreement begins after September 30th, a report is **not required** until December 31 of the following year.

b. If the agreement terminates before March 31st of the final year, an Interim Progress Report is not required for the previous year.

NOTE (5): Modifications which extend the completion date of the research agreement automatically extend the due date.

NOTE (6): Use as many SF298 Continuation Sheets (Enclosure 2) as needed. White paper is an acceptable substitute for the SF 298 Continuation Sheet.

NOTE (7): The Forecast Expenditure Report (Enclosure 4) will be sent to the Awardee 90 days prior to the exercise of any increment or option.

NOTE (8): Must be identified by the Contract/Grant number and accompanied by a "Memorandum of Transmittal," (Enclosure 3).

NOTE (9): Refer questions to the Technical Monitor.

SECTION II. Reporting Details by Report Type

INTERIM PROGRESS REPORTS

1. **Content:** An Interim Progress Reports must provide a current record of accomplishments, which will be used as a basis for continuing support of the project. This information is used for various purposes, including justifying the agency's budget request to Congress. Interim Progress Reports should be written for the intended audience of a program director/manager technically conversant with the research program being supported.

2. **Requirements:** Interim Progress Reports must be submitted using the forms indicated below:

a. "Report Documentation Page, Standard Form 298" (Enclosure 1) information required:

- (1) Block 3, Period covered by report
- (2) Block 4, Proposal Title
- (3) Block 5, Contract/Grant number
- (4) Block 6, Author(s) of report
- (5) Block 7, Performing Organization Name(s) and Address(es)
- (6) Block 10, ARO proposal number
- (7) Block 13, Abstract (**MUST NOT EXCEED THE 200 WORD LIMITATION**). The abstract should

include the following components: **specific aims, results of findings and their significance, and plans for the coming year.**

b. "The Report Documentation Page (SF 298) Continuation Sheet (Enclosure 2)" must include brief, but complete, information for each of the following five categories:

- (1) "List of manuscripts" submitted or published under ARO sponsorship during this reporting period, including journal references;
- (2) "Scientific personnel" supported by this project and honors/awards/degrees received during this reporting period;
- (3) "Report of inventions" (by title only);
- (4) "Scientific progress and accomplishments" (Description should include significant theoretical or experimental advances); and
- (5) "Technology transfer" (any specific interactions or developments which would constitute technology transfer of the research results). Examples include patents, initiation of a start-up company based on research results, interactions with industry/Army R&D Laboratories or transfer of information which might impact the development of products.

c. "Copies of technical reports", which have not been previously submitted to the ARO, must be forwarded with the Interim Progress Report.

3. **Submission:** ARO encourages electronic submission of Interim Progress Reports. You may download the electronic form SF298 and SF298 continuation sheet from the ARO's home page at www.aro.army.mil/forms/forms2.htm#fm18. The forms were created in MS Word 6.0 and MS Word 97. Please submit completed forms as attachments via e-mail to woods@aro-emh1.army.mil. Additional attachments will be accepted in the following formats: Word Perfect 6.0, MS Word 97 or prior versions, as well as Adobe Acrobat PDF. If electronic submissions is not possible, forward hard copies to the U.S. Army Research Office, ATTN: AMSRL-RO-RI (Ms. Lori Woods), P.O. Box 12211, RTP, NC 27709-2211.

FINAL PROGRESS REPORT

1. **Content:** The Final Progress Report covers the entire performance period. Please do not delay submission while you are waiting for Reprints of publications.

2. **Requirement:** Final Progress Reports must include:

a. A "Memorandum of Transmittal," Enclosure 3.

b. "Final Progress Report", including the following information:

- (1) Foreword (optional)
- (2) Table of Contents (if more than 10 pages)
- (3) List of Appendixes, Illustrations and Tables (if applicable)
- (4) Statement of the problem studied
- (5) Summary of the most important results
- (6) List of all publications and technical reports
- (7) List of all participating scientific personnel showing any advanced degrees earned by them while

employed on the project

- (8) Report of Inventions (by title only)
- (9) Bibliography
- (10) Appendixes

c. A "Standard Form 298 (Enclosure 1)", including the following required entries:

- (1) Block 2, Report Date
- (2) Block 3, Report Type and Dates Covered
- (3) Block 4, Proposal Title
- (4) Block 5, Contract/Grant Number
- (5) Block 6, Author(s)
- (6) Block 7, Performing Organization Name(s) and Address(es)
- (7) Block 10, Proposal Number
- (8) Block 13, Abstract (must not exceed the 200 word limitation)
- (9) Block 14, Subject Terms
- (10) Block 15, Number of Pages

3. **Submission:** Forward to the U.S. Army Research Office, ATTN: AMSRL-RO-RI (Mrs. Sylvia Hall), P.O. Box 12211, RTP, NC 27709-2211.

FORECAST EXPENDITURE

1. **Content:** The research agreements awarded by ARO are reviewed before a decision is made to provide additional funding. A Forecast Expenditure Report (Enclosure 4) will be sent to the awardee 90 days prior to the exercise of incremental or optional funding.
2. **Requirements:** Upon receipt of the form, complete SECTION 2 by providing:
 - a. An accounting of costs incurred to date; and
 - b. Projection of financial needs for the period of the agreement extension.
3. **Submission:** Return the completed report **within 30 days of receipt** to: U.S. Army Research Office, ATTN: (Monitors name provided by ARO) P.O. Box 12211, Research Triangle Park, North Carolina, 27709-2211. PLEASE NOTE: ACTION WILL NOT BE TAKEN WITH RESPECT TO THE PROVISION OF ADDITIONAL FUNDS UNTIL THE REQUESTED INFORMATION IS RECEIVED.

MANUSCRIPTS

1. **Content:** Each Manuscript submitted for publication must be forwarded to the ARO at the same time it is submitted to the journal.
2. **Requirements:** The name of the journal should be noted and credit must be given for sponsorship by the U.S. Army Research Office as specified on Page 6 of this document under "**Attribution**". Manuscripts must be identified by:
 - a. The ARO agreement number; and
 - b. Must be accompanied by a "Memorandum of Transmittal," Enclosure 3.
3. **Submission:** Forward to the U.S. Army Research Office, ATTN: (Mrs.Sylvia Hall), P.O. Box 12211, RTP, NC 27709-2211.

REPRINTS

1. **Content:** As reprints become available, one original and 2 copies must be forwarded to the ARO. The copies must be clear enough to meet optical scanning requirements.
2. **Requirements:** Reprints must be identified by the ARO agreement number and accompanied by a "Memorandum of Transmittal," Enclosure 3.
 - a. **A Standard Form 298 (Enclosure 1)** must be attached to each copy containing the following information:
 - (1) Block 3, Report Type
 - (2) Block 4, Report Title
 - (3) Block 6, Author(s)
 - (4) Block 7, Performing Organization Name(s) and address(es)
 - (5) Block 13, Abstract (must not exceed the 200 word limitation)
 - (6) Block 14, Subject Terms
 - (7) Block 15, Number of pages
3. **Submission:** Forward to the U.S. Army Research Office, ATTN: AMSRL-RO-RI (Mrs.Sylvia Hall), P.O. Box 12211, RTP, NC 27709-2211.

TECHNICAL REPORTS

1. **Content:** Technical Reports are documents written for the permanent record to convey scientific and technical information on results obtained from activities relating to a single project, task, or agreement within the DoD R&D program.

The U.S. Army Research Office prefers all technical information to be reported through Reprints of publications in recognized scientific journals. Those which cannot be published may be submitted as a "Technical Report."

2. **Requirement:** Technical Reports must be furnished to the ARO as they become available. Technical Reports must be identified by the grant or contract number and accompanied by a "Memorandum of Transmittal," Enclosure 3.

a. **A Standard Form 298 (Enclosure 1)** must be attached to each copy containing the following:

- (1) Block 2, Report Date
- (2) Block 4, Report Title
- (3) Block 6, Author(s)
- (4) Block 7, Performing Organization Name(s) and Address(es)
- (5) Block 13, Abstract (not to exceed the 200 word limitation)
- (6) Block 14, Subject Terms
- (7) Block 15, Number of pages

3. **Submission:** Forward to the U.S. Army Research Office, ATTN: AMSRL-RO-RI (Mrs. Sylvia Hall), P.O. Box 12211, RTP, NC 27709-2211.

SECTION III. Common Reporting Information.

DISTRIBUTION OF REPORTS (Reference AR 70-45)

ARO will make primary distribution to the Defense Technical Information Center (DTIC), who secondarily distributes the unclassified and unlimited distribution reports to the National Technical Information Service (NTIS) for sale to the general public. DTIC distributes limited distribution reports according to the limitations imposed by the sponsoring agency.

ARO will maintain an Official Distribution List of agencies, offices, contractors, and individuals who will be notified of report availability. All parties on the Official Distribution List will receive a notification of report titles and accession numbers to facilitate purchase from DTIC or NTIS. Upon request, ARO will furnish the investigator a copy of the Official Distribution List. Unclassified reports may be sent to individuals without prior clearance from the ARO.

The expenses incurred in the preparation and distribution of reports for the ARO and scientists requesting SL and SC are reimbursable under the contract or grant. Printing and distribution of reports for unofficial distribution will be at the contractor's or grantee's expense.

SECURITY CLASSIFICATION

All basic research contracts and grants initiated by the U.S. Army Research Office are UNCLASSIFIED. There may be instances where a report contains information which requires classification in the interest of the National Defense. When the Principal Investigator believes the information developed should be classified, he/she will notify the Contracting Officer's Technical Representative immediately. Classified reports **will not** be distributed unofficially.

PRESENTATION OF UNCLASSIFIED PAPERS AT SCIENTIFIC MEETINGS

Papers resulting from unclassified projects sponsored by the U.S. Army Research Office may be presented without prior clearance.

ATTRIBUTION

DFARS clause 252.235-7010 requires Research and Development (R&D) contractors to acknowledge the Government's support in the publication of any material based on or developed under their contracts in the following terms: *This material is based upon work supported by, or in part by, the U. S. Army Research Office under contract/grant number _____.*

REPORT DOCUMENTATION PAGE			Form Approved OMB NO. 0704-0188	
Public Reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comment regarding this burden estimates or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188,) Washington, DC 20503.				
1. AGENCY USE ONLY (Leave Blank)		2. REPORT DATE		3. REPORT TYPE AND DATES COVERED
4. TITLE AND SUBTITLE			5. FUNDING NUMBERS	
6. AUTHOR(S)				
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)			8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES) U. S. Army Research Office P.O. Box 12211 Research Triangle Park, NC 27709-2211			10. SPONSORING / MONITORING AGENCY REPORT NUMBER	
11. SUPPLEMENTARY NOTES The views, opinions and/or findings contained in this report are those of the author(s) and should not be construed as an official Department of the Army position, policy or decision, unless so designated by other documentation.				
12 a. DISTRIBUTION / AVAILABILITY STATEMENT Approved for public release; distribution unlimited.			12 b. DISTRIBUTION CODE	
13. ABSTRACT (Maximum 200 words)				
14. SUBJECT TERMS			15. NUMBER OF PAGES	
			16. PRICE CODE	
17. SECURITY CLASSIFICATION OR REPORT UNCLASSIFIED	18. SECURITY CLASSIFICATION ON THIS PAGE UNCLASSIFIED	19. SECURITY CLASSIFICATION OF ABSTRACT UNCLASSIFIED	20. LIMITATION OF ABSTRACT UL	

GENERAL INSTRUCTIONS FOR COMPLETING SF 298

The Report Documentation Page (RDP) is used for announcing and cataloging reports. It is important that this information be consistent with the rest of the report, particularly the cover and title page. Instructions for filling in each block of the form follow. It is important to ***stay within the lines*** to meet ***optical scanning requirements***.

Block 1. Agency Use Only (Leave blank)

Block 2. Report Date. Full publication date including day, month, and year, if available (e.g. 1 Jan 88). Must cite at least year.

Block 3. Type of Report and Dates Covered.

State whether report is interim, final, etc. If applicable enter inclusive report dates (e.g. 10 Jun 87 - 30 Jun 88).

Block 4. Title and Subtitle. A title is taken from the part of the report that provides the most meaningful and complete information. When a report is prepared in more than one volume, repeat the primary title, and volume number, and include subtitle for the specific volume. On classified documents enter the title classification in parentheses.

Block 5. Funding Numbers. To include contract and grant numbers; may include program element number(s) project number(s), task number(s), and work unit number(s). Use the following labels:

C - Contract	PR - Project
G - Grant	TA - Task
PE - Program Element	WU - Work Unit Accession No.

Block 6. Author(s). Name(s) of person(s) responsible for writing the report, performing the research, or credited with the content of the report. If editor or compiler, this should follow the name(s).

Block 7. Performing Organization Name(s) and Address(es). Self-explanatory.

Block 8. Performing Organization Report Number. Enter the unique alphanumeric report number(s) assigned by the organization performing the report.

Block 9. Sponsoring/Monitoring Agency Name(s) and Address(es). Self-explanatory.

Block 10. Sponsoring/Monitoring Agency Report Number. (if known)

Block 11. Supplementary Notes. Enter information not included elsewhere such as; prepared in cooperation with...; Trans. of...; To be published in.... When a report is revised, include a statement whether the new report supersedes or supplements the older report.

Block 12a. Distribution/Availability Statement.

Denotes public availability or limitations. Cite any availability to the public. Enter additional limitations or special markings in all capitals (e.g. NORFON, REL, ITAR).

DOD - See DoDD 4230.25, "Distribution Statements on Technical Documents."

DOE - See authorities.

NASA - See Handbook NHB 2200.2.

NTIS - Leave blank.

Block 12b. Distribution Code.

DOD - Leave Blank

DOE - Enter DOE distribution categories from the Standard Distribution for unclassified Scientific and Technical Reports

NASA - Leave Blank.

NTIS - Leave Blank.

Block 13. Abstract. Include a brief (*Maximum 200 words*) factual summary of the most significant information contained in the report.

Block 14. Subject Terms. Keywords or phrases identifying major subject in the report.

Block 15. Number of Pages. Enter the total number of pages.

Block 16. Price Code. Enter appropriate price code (NTIS *only*).

Block 17. - 19. Security Classifications. Self-explanatory. Enter U.S. Security Regulations (i.e., UNCLASSIFIED). If form contains classified information, stamp classification on the top and bottom of the page.

Block 20. Limitation of Abstract. This block must be completed to assign a limitation to the abstract. Enter either UL (Unlimited) or SAR (same as report). An entry in this block is necessary if the abstract is to be limited. If blank, the abstract is assumed to be unlimited.

REPORT DOCUMENTATION PAGE (SF298)
(Continuation Sheet)

Enclosure 2

MASTER COPY: PLEASE KEEP THIS "MEMORANDUM OF TRANSMITTAL" BLANK FOR REPRODUCTION PURPOSES. WHEN REPORTS ARE GENERATED UNDER THE ARO SPONSORSHIP, FORWARD A COMPLETED COPY OF THIS FORM WITH EACH REPORT SHIPMENT TO THE ARO. THIS WILL ASSURE PROPER IDENTIFICATION. NOT TO BE USED FOR INTERIM PROGRESS REPORTS; SEE PAGE 2 FOR INTERIM PROGRESS REPORT INSTRUCTIONS.

MEMORANDUM OF TRANSMITTAL

U.S. Army Research Office
ATTN: AMSRL-RO-RI (Hall)
P.O. Box 12211
Research Triangle Park, NC 27709-2211

☐ Reprint (Orig + 2 copies)

☐ Technical Report (Orig + 2 copies)

☐ Manuscript (1 copy)

☐ Final Progress Report (Orig + 2 copies)

☐ Related Materials, Abstracts, Theses (1 copy)

CONTRACT/GRANT NUMBER:

REPORT TITLE:

is forwarded for your information.

SUBMITTED FOR PUBLICATION TO (applicable only if report is manuscript):

Sincerely,

Enclosure 3

FORECAST EXPENDITURE REPORT

(IMPORTANT!>>>YOU MUST REPLY TO RECEIVE ADDITIONAL FUNDING<<<)

The research agreement identified below is under consideration for additional funding. The contemplated funding, resulting in an extension to the performance period of the agreement, is consistent with the terms and conditions of the agreement. Before a decision can be made to provide the additional funding, the following information is needed: (i) an accounting of costs incurred to date and (ii) a projection of financial needs for the period

of the agreement extension. Please complete SECTION 2, below **within 30 days of receipt of this request** and return to: U.S. Army Research Office, ATTN: (Name provided by ARO) P.O. Box 12211, Research Triangle Park, North Carolina, 27709-2211.

SECTION 1: GENERAL INFORMATION

ARO Proposal Number: (Provided by ARO)

Agreement Number: (Provided by ARO)

Agreement Period: (Provided by ARO) From To (Provided by ARO)

Recipient: (Provided by ARO)

Principal Investigator: (Provided by ARO)

Planned Period of Extension for: (# of Mos.) months beginning (Provided by ARO)

ARO Technical Monitor: (Provided by ARO)

ARO Technical Monitor's E-mail: (Provided by ARO)

Award Amount: (\$ Provided by ARO)

Funded Amount: (\$ Provided by ARO)

Period Funded Through (Provided by ARO)

Planned Funding: (Provided by ARO)

Monitor's Phone #: (Provided by ARO)

SECTION 2: ACCOUNTING AND FORECASTING OR EXPENDITURES

Payments to Date: \$ (Provided by ARO)

1. Expenditures (cost incurrances from date of contract/grant initiation) as of date \$ _____ of receipt of this request or as of most recent cut-off in accounting records:

2. Additional projected expenditures before (date entered by ARO): \$ _____

3. Total of items 1 and 2: \$ _____

4. Forecast expenditures for the proposed (number) months period of extension: \$ _____ *

* The forecast cannot exceed the planned level of funding identified in SECTION 1. If the forecast expenditures differ significantly from the budget previously negotiated and included in the research agreement, a new budget must be submitted. A "significantly different" budget is defined as (i) a decrease in the planned funding level cited above or (ii) a deviation of 10% (plus or minus) to any cost element (direct labor, indirect expense, travel, etc.) included in the budget.

Date: _____

Signature _____
Principal Investigator

SECTION 3: FOR U.S. ARMY RESEARCH OFFICE USE ONLY

____ Recommend funding at level cited in SECTION 1, above.

____ Recommend no additional funds be provided at this time.

____ Recommend funding consistent with revised budget of Principal Investigator.

____ Recommend extension of agreement through _____ without additional funds.

____ Recommend funding in amount of \$ _____

____ Other (Explanation attached).

Date: _____

Signature _____
Technical Monitor

Enclosure 4